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Att'y Dkt. No. 003-126  
U.S. App. No. 10/808490

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Erhard KREIS et al.

Appl. No.: 10/808490

Filing Date: 25 March 2004

Title: Seal Arrangement for Reducing the Seal Gaps  
within a Rotary Flow Machine

Art Unit: 3745

Examiner: [to be assigned]

Atty. Docket: 003-126

**INFORMATION DISCLOSURE STATEMENT**

**Mail Stop Amendment**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on the accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that an exhaustive search has been made, or that there does not exist information more material to the examination of the present patent application. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will review art of record in all 35 U.S.C. § 120 priority documents.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required.
- ☐ 2. The Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. Below is a certification under 37 C.F.R. § 1.97(e).

- ☐ b. Attached is my check no. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ c. Please charge my Deposit Account No. 50-2821 in the amount of \$ \_\_\_\_\_ for the fee under 37 C.F.R. § 1.17(p)
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant hereby Petitions that the Information Disclosure Statement be considered. ☐ Attached is my check ☐ please charge my Deposit Account No. 50-2821 in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4 Certification(s) under 37 C.F.R. § 1.97(e):
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. I hereby certify that no item of information on this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☒ 5. Relevance of the non-English language document(s) is discussed in the present specification. See pages 2-4 of the specification of the present application.
- ☒ 6. The document(s) was/were cited in a corresponding foreign application; ☒ a copy of a search report issued in the foreign application is attached, and/or ☐ an English language version of the foreign search report is attached for the Examiner's information. M.P.E.P. § 609 III (A)(3).
- ☐ 7. A concise explanation of the relevance of the non-English language document(s) ☐ is attached hereto or ☐ appears below.
- ☐ 8. The Examiner's attention is directed to co-pending U.S. Patent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- ☐ 9. Copies of the documents were cited by or submitted to the Office in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

- ☐ 10. Copies of the documents cited in the International Search Report (PCT/ISA/210) and/or the International Preliminary Examination Report (PCT/IPEA/416) have been received by the U.S. P.T.O., as indicated on the Notification of Acceptance (PCT/DO/EO/903); accordingly, additional copies are not provided herewith. M.P.E.P. §§ 609 II, 1892.03(g).
- ☒ 11. Copies of the U.S. patent documents cited on the PTO-1449 filed herewith are NOT provided, in accordance with Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications filed after June 30, 2003, 1276 Off. Gaz. Pat. Office 55 (August 5, 2003).
- ☐ 12. Other: \_\_\_\_\_.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

Respectfully submitted,

By:



Adam J. Cermak  
Reg. No. 40391

Date: 14 Sept. 2004

**U.S. P.T.O. Customer Number 36844**

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FORM PTO 1449 (modified) INFORMATION DISCLOSURE STATEMENT	Att'y. Ref.. No.: 003-126	App. No.: 10/808490
	APPLICANT(S): Erhard KREIS et al.	
	FILING DATE: 25 March 2004	Group Art Unit: 3745

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUB'N DATE	NAME	CLASS	SUBCLASS	FILING DATE
	4655687	7 April 1987	Atkinson			
	5464326	7 Nov. 1995	Knott			
	5277548	11 Jan. 1994	Klein et al.			
	4257741	24 Mar. 1981	Betts et al.			
	4884951	5 Dec. 1989	Meylan et al.			
	4580946	8 Apr. 1986	Bob			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUB'N DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
	198 58 031 A1	21 June 2000	DE			<input type="checkbox"/> Yes <input type="checkbox"/> No
	198 48 103 A1	20 April 2000	DE			<input type="checkbox"/> Yes <input type="checkbox"/> No
	33 03 482 A1	25 Aug. 1983	DE			<input type="checkbox"/> Yes <input type="checkbox"/> No
	195 20 268 A1	5 Dec. 1996	DE			
	03/027445 A1	3 April 2003	WO			
	1340331	9 Sept. 1963	FR			
	0 995 881 A2	26 April 2000	EPO			<input type="checkbox"/> Yes <input type="checkbox"/> No
	1 076 157 A2	14 Feb. 2001	EPO			
	0 501 700 A1	2 Sept. 1992	EPO			
	0 787 890 A2	6 Aug. 1997	EPO			
	0 787 890 A3	28 April 1999	EPO			

## OTHER (Including Author, Title, Date, Pertinent Pages, Publisher, etc.)

	Search Report from CH 2001 1766/01 (13 Dec. 2001)
	Search Report from PCT/IB02/03862 (7 Nov. 2002)
	IPER from PCT/IB02/03862 (5 Sept. 2003)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	